



COPS Application Packet

www.cops.usdoj.gov

Homeland Security Overtime Program Application Packet

June 13, 2003 (priority consideration) and
June 27, 2003 final deadline

U.S. Department of Justice
Office of Community Oriented Policing Services
Carl R. Peed, Director
OMB Approval Number: 1103-0027



Homeland Security Overtime Program Application Packet

For more information about COPS grants, call the U.S. Department of Justice Response Center at 800.421.6770.



U.S. Department of Justice
Office of Community Oriented Policing Services
Homeland Security Overtime Program (HSOP) Control Desk
1100 Vermont Avenue, N.W.
7th floor
Washington, D.C. 20530 (use zip 20005 for overnight mail)

Due to continued mail delays in the Washington, D.C. area, we strongly encourage you to submit your application packet by an express or overnight delivery service. If you choose to use an express delivery service, please use zip code 20005 for your submission.

COPS Online: www.cops.usdoj.gov

Revised: April 2003

Contents

| | |
|---|----|
| Application Instructions | 1 |
| General Information | 2 |
| Executive Information. | 3 |
| Department Information | 5 |
| Required Signatures | 6 |
| Terrorism Preparedness. | 7 |
| Local Budget | 12 |
| Budget for Requested Federally Funded Additional Overtime | 14 |
| Addenda | 18 |
| Assurances | 19 |
| Certifications | 21 |
| Disclosure of Lobbying Activities | 23 |
| Sheriff's Department Questionnaire | 25 |
| Special Department Questionnaire | 27 |
| Return Address | 29 |

Dear Colleague:

The COPS Office is pleased to announce the new Homeland Security Overtime Program (HSOP), which will offer state, local, and tribal law enforcement agencies the opportunity to apply for additional officer overtime funding to support community policing and homeland security efforts. HSOP will support programs that increase community safety and security, and reduce public fear. HSOP grants will supplement the selected agencies' state or locally-funded officer overtime budgets, increasing the amount of overtime funding available for these critical functions.

The National Strategy for Homeland Security, the Administration's roadmap for securing the homeland, highlights the key role that state, local and tribal governments play in responding to a terrorist attack. Terrorism preparedness and prevention have become key responsibilities for state and local agencies. As such, while all policing agencies are eligible to apply for this program, COPS will give priority consideration to applications that demonstrate the use of community policing strategies to prepare for or respond to acts of terrorism through officer overtime.

HSOP grants can be used to pay officer overtime during homeland security training sessions and other law enforcement activities that are designed to assist in the prevention of acts of terrorism and other violent and drug-related crimes. Law enforcement agencies that have temporarily lost sworn officers to military reserve duty and wish to deploy other officers on an overtime basis to help address these temporary vacancies are also eligible to apply for HSOP grants. HSOP funds may also be available to support the overtime efforts of non-supervisory sworn personnel including intelligence officers, crime analysts, undercover officers, and other sworn personnel who work on homeland security/terrorism task forces (such as Joint Terrorism Task Forces). These funds may only be used for non-supervisory sworn personnel and may not be applied towards civilian or reserve officer costs.

HSOP funds must be used consistently with the agency's typical or average officer overtime pay scale. In other words, HSOP funds must be used to support officer overtime at the same pay scale that the agency would normally use for locally funded overtime. As stated above, HSOP grants also must supplement the selected agency's state or locally funded officer overtime budgets. *To comply with the COPS statute, agencies may not rely on the availability of HSOP grant funding to reduce the amount of state or local funds budgeted and expended for officer overtime in their current or future budget cycles.*

Up to \$60 million is available under this program. We anticipate that funding for these grants will be extremely competitive. Law enforcement agencies may apply for funding amounts based on the size of the population they serve or the size of their budgeted sworn strength at the time of application. Federal funds may be requested for up to 75 percent of the total requested additional overtime costs, with a minimum 25 percent local cash match. The chart below represents the maximum 75 percent federal share of HSOP funding that may be requested based on population or budgeted sworn strength.

Please use the following guidelines when determining your department's request for HSOP:

| <u>Agencies serving populations:</u> | <u>OR</u> | <u>Budgeted sworn force:</u> | <u>May apply for a federal share of up to:</u> |
|--------------------------------------|-----------|------------------------------|--|
| under 24,999 | | 1-49 | \$25,000 |
| from 25,000 to 49,999 | | 50-99 | \$50,000 |
| from 50,000 to 99,999 | | 100-199 | \$100,000 |
| from 100,000 to 249,999 | | 200-499 | \$250,000 |
| from 250,000 to 499,999 | | 500-999 | \$500,000 |
| from 500,000 to 999,999 | | 1,000-1,999 | \$1,000,000 |
| over 1,000,000 | | above 2,000 | \$3,000,000 |

A local cash match of 25 percent is required for all HSOP grants. **The match must be a cash match, made from local, state or other non-COPS funds and may not be paid through reallocating funds otherwise budgeted for specific law enforcement purposes.** Given the expected demand and limited funding, waivers of the local match will not be available for grants awarded under this particular program. Overtime grants will be awarded for a one-year period.

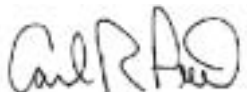
When determining how much additional overtime funding to request within the limits noted above, agencies should consider the one-year grant period; the amount of state or local funding that they will otherwise budget for officer overtime; their ability to meet the 25 percent local cash match; past officer overtime expenditures; and current and anticipated law enforcement needs that will require additional officer overtime beyond the state or locally-funded amount. HSOP grants cannot be used to reimburse grantees for overtime expenditures that occur prior to the award start date.

There are two application deadlines for this program. **Applications that are postmarked on or before June 13, 2003 will receive priority consideration.** However, COPS will also accept applications that are postmarked on or before June 27, 2003. Applications postmarked after June 27, 2003 will not be considered. The application kit includes the specific mailing address and unique zip code for overnight mail deliveries.

Agencies are strongly encouraged to electronically download the HSOP application kit from COPS Online at www.cops.usdoj.gov. To have a paper copy mailed to your agency, please contact the U.S. Department of Justice Response Center at 800.421.6770.

We look forward to your interest in this program.

Sincerely,



Carl R. Peed
Director

I. Application Instructions

Applications without all requested information and the required original signatures will not be considered for funding. Please send the **original** application and **two copies** to the COPS Office by **June 13, 2003**, or by the second deadline of **June 27, 2003**. Applications received by the first deadline will receive priority consideration.

Before mailing your application, please ensure that the following are included:

- ☐ **Please complete Sections II, III, IV, V. Under Section V, please include original signatures from the appropriate law enforcement executive and government executive.**
- ☐ **Please complete Section VI, answering all questions when appropriate for your agency. In particular, please provide a narrative for Question 8 describing how your department plans to use the overtime funding to improve or build upon your homeland security efforts, and for Question 9 describing your agency's specific need for federal assistance.**
- ☐ **Please complete Sections VII and VIII, providing accurate and complete financial and budget information.**
- ☐ **Please complete and provide the appropriate original signatures for the following documents located in Section IX:**
 - Assurances (please sign and return)
 - Certifications (please sign and return)
 - Disclosure of Lobbying Activities (please sign and return, if applicable)
 - Sheriff's Department Questionnaire (please sign and return, if applicable)
 - Special Department Questionnaire (please sign and return, if applicable)

II. General Information

Applicant Organization's Legal Name:

Applicant Agency ORI Number: _ _ _ _ _

The ORI number is assigned to your agency by the FBI for purposes of UCR crime reporting. It begins with your state abbreviation followed by five digits. If your agency does not have an ORI number, leave this blank, and the COPS Office will assign one to you.

Applicant Agency EIN Number: _ _ _ _ _

The EIN number is assigned to your agency by the Internal Revenue Service (IRS) and consists of nine digits. If the Office of Justice Programs has assigned your department an EIN number, please use that assigned number. Otherwise, use your IRS EIN number.

Federal Congressional District Number: _____

Do not substitute state or local congressional districts. If your agency spans more than one congressional district, please list all of those districts above.

Is your agency contracting for law enforcement services?

[Check one]

☐ Yes ☐ No

If "yes," enter the name and agency information of the contract law enforcement department in Section III., Executive Information.

III. Executive Information

The law enforcement and government executives that appear in this section **must** be those individuals who will have ultimate financial and programmatic authority for this grant. Typically, these are the highest-ranking officials within your jurisdiction (e.g., Chief of Police, Sheriff, or equivalent for law enforcement executives, and Mayor, City Administrator, or equivalent for government executives). Listing individuals without ultimate financial and programmatic authority for the grant could delay the review of your application or remove your application from consideration.

Law Enforcement Executive's Name:

Title: _____

Agency Name: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone: _____ Fax: _____

E-mail (if applicable):

Type of Law Enforcement Agency:☐ Municipal ☐ State ☐ County Police Department☐ Sheriff* ☐ Tribal ☐ Transit*☐ School* ☐ Public Housing*☐ University/College* Please indicate: (☐ Public or ☐ Private)☐ Other* (please specify): _____

** Agency types with an asterisk next to them must complete the appropriate additional questionnaire found in Section IX.*

Government Executive's Name:

Title: _____

Name of Government Entity: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone: _____ Fax: _____

E-mail (if applicable): _____

Type of Government Entity:

- ☐ State ☐ City ☐ Town ☐ County
☐ Village ☐ Borough ☐ Township ☐ Territory
☐ Region ☐ Council ☐ Community ☐ Pueblo
☐ Nation ☐ School District
☐ Other (please specify): _____

Contact Information:

Contact person in your department who is familiar with this grant:

Name: _____

Title: _____

Telephone: _____ Fax: _____

E-mail (if applicable): _____

IV. Department Information

Population served as of 2000 U.S. Census: _____

If the population that your agency serves is not represented by U.S. Census figures (e.g., colleges, special departments), please indicate the size of the population served here: _____

Exclude the population primarily served by other law enforcement agencies within your jurisdiction. For example, a sheriff's department must exclude populations covered by a city police department for which the sheriff's department has no primary law enforcement authority.

Current budgeted sworn strength as of the date of application. *The budgeted sworn strength is the number of sworn officer positions your department has allocated for its budget. This number will include all budgeted officer positions, including locally-funded, COPS-funded, vacancies, and other grant-funded officer positions:*

Full-time officers: _____ **Part-time officers:** _____

V. Required Signatures

IMPORTANT! PLEASE READ PRIOR TO SIGNING BELOW:

*Prior to receiving an HSOP grant award, your agency must comply with all application and program requirements set forth in the Public Safety Partnership and Community Policing Act of 1994 and all other requirements of federal law. Your signatures below certify that by submitting this application, your agency is requesting COPS funding only for officer **overtime** which would not otherwise be funded in your agency's budget with state or local funds. **Reminder:** In order to process your agency's funding request, original signatures of the law enforcement and government executives who will have ultimate financial and programmatic authority for this grant are required on all application documents. Faxed copies will **not** be accepted. Stamped or electronic signatures also will **not** be accepted. It is not permissible for someone to sign application forms in place of the law enforcement and/or government executives named in the application. Applications with missing, incomplete or inaccurate signatures or responses may not be considered for funding.*

By signing below, I certify that the information provided on this form and on the attached forms is true and accurate to the best of my knowledge. I understand that false statements or claims made in connection with COPS grants may result in fines, imprisonment, debarment from participating in federal grants or contracts, and/or any other remedy available by law. I also acknowledge that a hold may be placed on this application if it is deemed that the applicant agency is not in compliance with Federal civil rights laws and/or is not cooperating with an ongoing Federal civil rights investigation.

Law Enforcement Executive's Signature:

Date: _____
(Signature of person named in Section III of this form)

(Print name)

Government Executive's Signature:

Date: _____
(Signature of person named in Section III of this form)

(Print name)

VI. Terrorism Preparedness

The questions below relate to your agency's present and anticipated homeland security/anti-terrorism efforts. Please answer all questions below as completely and accurately as possible **for your agency as a whole**. Please do not include any *confidential* or *classified* information in your responses. For the questions that require a written explanation, do not exceed the maximum number of words specified. Additionally, your responses must be consistent with the definitions of homeland security/anti-terrorism and terrorism as defined below.

Homeland Security/Anti-Terrorism: *Your agency's efforts to detect, prepare for, prevent, protect against, respond to, and recover from terrorist attacks within your jurisdiction.*

Terrorism: *An act that 1) is dangerous to human life or potentially destructive of critical infrastructure or key resources, and is a violation of the criminal laws of the United States or of any state or other subdivision of the United States, and 2) appears to be intended to intimidate or coerce a civilian population, to influence the policy of a government by intimidation or coercion, or to affect the conduct of a government by mass destruction, assassination, or kidnapping.*

1. In the past fiscal year, on average, how many overtime hours per week did your current officers engage in homeland security-related activities?

[Check one]

- | | |
|--|---|
| <input type="checkbox"/> 0 hours or only on an as-needed basis | <input type="checkbox"/> 11-20 hours per week |
| <input type="checkbox"/> 1-5 hours per week | <input type="checkbox"/> 21-30 hours per week |
| <input type="checkbox"/> 6-10 hours per week | <input type="checkbox"/> 30+ hours per week |

2. On average, how many additional hours per week do you anticipate the requested overtime funding would be used specifically for anti-terrorism/homeland security activities?

[Check one]

- | | |
|--|---|
| <input type="checkbox"/> 0 hours or only on an as-needed basis | <input type="checkbox"/> 11-20 hours per week |
| <input type="checkbox"/> 1-5 hours per week | <input type="checkbox"/> 21-30 hours per week |
| <input type="checkbox"/> 6-10 hours per week | <input type="checkbox"/> 30+ hours per week |

3. What is the average number of annual hours for homeland security/anti-terrorism training that your agency anticipates providing for officers this year?

[Check one]

- | | |
|--|---|
| <input type="checkbox"/> 0 hours or only on an as-needed basis | <input type="checkbox"/> 11-20 hours per year |
| <input type="checkbox"/> 1-5 hours per year | <input type="checkbox"/> 20+ per year |
| <input type="checkbox"/> 6-10 hours per year | <input type="checkbox"/> Don't know |

4. Do you have any of the following critical infrastructures within your law enforcement jurisdiction? [Please check all that apply, and provide a one to three word description for each item that is checked.]

- ☐ Major bridges or tunnels _____
- ☐ Significant national or regional monuments _____
- ☐ Major sites of historical significance _____
- ☐ Skyscrapers or tall apartment/commercial buildings _____
- ☐ Nuclear reactors/plants _____
- ☐ Dams or hydro-electric facilities _____
- ☐ Reservoirs or other major public water systems _____
- ☐ Major electric or other power plants (non-nuclear or hydro-electric) _____
- ☐ Chemical plants or storage facilities _____
- ☐ Buildings that house/develop/maintain biologically hazardous materials _____
- ☐ Borders with other countries (e.g., Mexico, Canada) _____
- ☐ Airports utilized by commercial aircraft _____
- ☐ Trains or subway systems _____
- ☐ Major waterway ports of entry _____
- ☐ Oil/petroleum refineries, pipes, or storage facilities _____
- ☐ Major tourist attractions (e.g., major theme parks, zoos) _____
- ☐ Major sporting arenas (e.g., collegiate or professional stadiums) _____
- ☐ Major sporting or public events _____
- ☐ Active military bases _____
- ☐ Major communication centers (e.g., TV, radio, Internet, satellite, newspapers) _____
- ☐ Strategic missile or other weapon sites _____
- ☐ Centers of government (e.g., state capitals) _____
- ☐ Major financial centers _____
- ☐ Major industrial centers _____
- ☐ Immigration ports of entry _____
- ☐ Other _____
- ☐ Other _____

5. **Has your agency participated in any type of joint terrorism task force activity, or are such activities planned in the near future?**

[Check one]

☐ Yes ☐ No

6. **Does your agency/jurisdiction have any of the following currently in place, or do you plan to implement any of the following if awarded in this grant?**

[Please check all that apply]

- ☐ Public anti-fear campaigns
- ☐ Riot control protocols
- ☐ Evacuation plans
- ☐ Decontamination units/plans
- ☐ Bomb threat protocols
- ☐ Protection protocols against major cyber-attacks
- ☐ Public broadcast systems/reverse 911/email notification protocols
- ☐ Printed and publicly disseminated documents on citizen preparedness (including website information)
- ☐ Public/community meetings focused on homeland security/citizen preparedness
- ☐ Increased sworn officer presence at potential terrorism targets.

7. **How many officers within your agency have been called up as full time military reservists in the past year (and are therefore no longer available for local policing services)?**

[Check one]

- | | |
|-------------------------------|----------------------------------|
| <input type="checkbox"/> 0 | <input type="checkbox"/> 11-50 |
| <input type="checkbox"/> 1-5 | <input type="checkbox"/> Over 50 |
| <input type="checkbox"/> 6-10 | |

8. Overtime grants can be used to pay for additional officer overtime, over and above your agency's state and locally-funded overtime budget, in connection with training and other law enforcement activities that are designed to assist in the prevention of acts of terrorism and other violent and drug-related crimes. While all policing agencies are eligible to apply for this program, priority consideration will be given to applications that demonstrate the use of community policing strategies to prepare for or respond to acts of terrorism. Please explain how your agency will use the additional officer overtime funded through HSOP, if awarded, to improve or enhance your current homeland security efforts. **Please explain in 250 words or less** (You may attach an additional sheet if necessary, but do not exceed the 250 words allotted).

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

[illegible]

VII. Local Budget

Overtime funds being requested must be in addition to overtime already funded in your agency's budget. In other words, COPS funds cannot be used to pay for any overtime for which your agency has already budgeted (or will otherwise budget during the grant period). HSOP provides for 75 percent of anticipated additional overtime costs for non-supervisory sworn personnel based on an average overtime rate specific for your department (please refer to the example provided in Section VIII for assistance when determining your department's average overtime rate).

Federal funds may be requested for up to 75 percent of the total requested additional overtime costs, with a minimum 25 percent local cash match. *The match must be a cash match, made from local, state or other non-COPS funds and may not be paid through reallocating funds otherwise budgeted for specific law enforcement purposes.*

In the spaces provided below, please identify the amount of state and/or local funding for officer overtime currently budgeted in your fiscal year 2003 budget, and your anticipated budgeted level of officer overtime funding for fiscal year 2004 (in the absence of HSOP funding). You may provide additional comments below, but please do not exceed the space provided. The COPS Office reserves the right to request documentation demonstrating state and/or local funds budgeted for overtime; however, this documentation should not be submitted at the time of application.

State and/or local funding currently budgeted for officer overtime:

Fiscal Year 2003 \$ _____

State and/or local funding anticipated for officer overtime:

Fiscal Year 2004 \$ _____

Comments: (please do not exceed the space allotted)

Locally Funded Fiscal Year

Starting date of your fiscal year: _____ / _____ / _____

Ending date of your fiscal year: _____ / _____ / _____

Cognizant Federal Agency

Many state and municipal agencies that receive federal grants are required to have audits of those grants forwarded to a single federal agency (e.g., Justice, HUD, HHS, Transportation). The single federal agency where such audits are sent is known as your "Cognizant Federal Agency." Please enter the name of your Cognizant Federal Agency (typically the federal agency that provides your government entity with the most federal funding) in the space provided. If your department does not receive federal funds, enter "U.S. Department of Justice."

(Cognizant Federal Agency)

VIII. Budget for Requested Federally Funded Additional Overtime:

Please read through the following example for guidance when determining and calculating your department's need for additional overtime.

The COPSville Police Department applies for an HSOP grant for overtime to allow officers to assist with the Molina County Task Force. The additional overtime funding will allow these officers to perform task force duties on an overtime basis while not reducing the patrol staffing levels. COPSville Police Department is requesting 1540 hours to complete this project, which will be in addition to the \$53,600 that is budgeted in their Fiscal Year 2003 for officer overtime. The COPSville Police Department serves a population of 30,000 and currently has a budgeted sworn strength of 53 sworn officers.

When calculating your department's average overtime hourly estimate, please average the overtime rate paid within your agency for non-supervisory sworn personnel.

| | |
|---|----------------|
| Overtime rate for Officer/Deputy level: | \$26.45 hourly |
| Overtime rate for Journeyman/PFC level: | \$32.16 hourly |
| Overtime rate for Master/MPO level: | \$36.33 hourly |

Average Overtime Estimate Per Hour: * \$31.65 hourly

**To calculate your average overtime estimate per hour, please add all applicable categories, and divide by the number of total categories.*

\$31.65 hourly x 1540 hours requested = \$48,741 total overtime (before fringe benefits)

When calculating your fringe benefits, please use the standard rate specific for your department, based on the total overtime requested before fringe benefits.

Fringe Benefits

| | | |
|-----------------------|------------------|---------------|
| Social Security | \$48,741 x 6.2% | \$3,022 |
| Medicare | \$48,741 x 1.45% | <u>\$ 707</u> |
| Total Fringe Benefits | | \$3,729 |

| | |
|--|------------------------|
| Total HSOP Project Costs (\$48,741 + \$3,729) | <u>\$52,470</u> |
|--|------------------------|

| | |
|--|------------------------|
| Federal Request (75 percent of total project costs) | <u>\$39,353</u> |
|--|------------------------|

| | |
|---|------------------------|
| Non-Federal Amount (25 percent Local Cash Match) | <u>\$13,117</u> |
|---|------------------------|

Based on the population and budgeted sworn force strength of COPSville, they would be eligible to apply for up to \$50,000 (please refer to the funding chart found in *Overtime Request Summary* below). Based on COPSville's specific needs, their request for federal funds will be \$39,353, with a local match of \$13,117.

Calculating Your Department's Average Overtime Rate Per Hour

When calculating your department's average overtime rate per hour, please average the overtime rate paid within your department for non-supervisory sworn personnel at the base salary. Please list below the personnel ranks/categories, their current overtime rate, and the calculations from averaging these categories to determine your Average Overtime Rate Per Hour. Please use the number of categories that is appropriate for your agency, however, do not exceed 5 personnel ranks/categories when calculating your overall average. For those agencies who have more than 5 ranks/categories, please select those that are representative of your non-supervisory sworn personnel. Once you have determined your department's Average Overtime Rate Per Hour, please multiply by the number of hours your department anticipates a need for above and beyond what is locally budgeted in Fiscal Year 2003 for officer overtime. The Additional Overtime Hours Requested is used for the purpose of determining your specific overtime request. If awarded, you will not be required to expend overtime at the level of hours requested, as long as your department can demonstrate that the goals and objectives of the program were met, and all overtime used under the grant was paid within the personnel categories listed below.

| Personnel Category | Overtime Rate Per Hour |
|--------------------|------------------------|
| 1. _____ | _____ |
| 2. _____ | _____ |
| 3. _____ | _____ |
| 4. _____ | _____ |
| 5. _____ | _____ |

| <u>Overtime Rate Per Hour Across All Categories</u> | <u>Number of Categories</u> | <u>Average Overtime Rate Per Hour</u> |
|---|--|--|
| \$_____.00 | / _____ | = \$_____.00 |
| <u>Average Overtime Rate Per Hour</u> | <u>Additional Overtime Hours Requested</u> | <u>Total Cost of Overtime (Before Fringe Benefits)</u> |
| \$_____.00 | x _____ | = \$_____.00 |

Your computation will consist of Total Cost of Overtime (Before Fringe Benefits) multiplied by standard rate for fringe benefits specific to your department.

Annual Fringe Benefits:

Computation:

| | | |
|-----------------------|-------|------------------------------------|
| Social Security | _____ | \$ _____ .00 (not to exceed 6.2%) |
| Medicare | _____ | \$ _____ .00 (not to exceed 1.45%) |
| Worker's Compensation | _____ | \$ _____ .00 |
| Other* _____ | _____ | \$ _____ .00 |
| Other* _____ | _____ | \$ _____ .00 |

**If requesting other fringe benefits, please include a copy of your fringe benefits section from your personnel handbook or department's official policy for verification purposes.*

Fringe Benefits Total: \$_____.

Overtime Request Summary

When you have completed the average overtime rate per hour and the fringe benefits, transfer the totals for each category to the spaces below. Please compute the total overtime costs and place that amount on the applicable line

Average Overtime Rate Per Hour \$ _____ .00

Additional Overtime Hours Requested x _____

Total Cost of Overtime (Before Fringe Benefits) \$ _____ .00

Fringe Benefits Total + \$ _____ .00

Total HSOP Project Costs = \$ _____ .00

Federal Request (up to 75 percent of the Total HSOP Project Costs) \$ _____ .00

Non-Federal Amount (25 percent Minimum Local Cash Match) \$ _____ .00

The Non-Federal Amount or your Local Match must represent, at a minimum, 25 percent of the Total Overtime Costs.

As a reminder, law enforcement agencies can apply for funding based on the size of the population they serve, or their budgeted sworn force at the time of application using the following guidelines:

| <u>Agencies serving</u> <u>populations:</u> | <u>OR</u> | <u>Budgeted sworn</u> <u>force:</u> | <u>May apply for a federal</u> <u>share of up to:</u> |
|--|-----------|--|--|
| under 24,999 | | 1-49 | \$25,000 |
| from 25,000 to 49,999 | | 50-99 | \$50,000 |
| from 50,000 to 99,999 | | 100-199 | \$100,000 |
| from 100,000 to 249,999 | | 200-499 | \$250,000 |
| from 250,000 to 499,999 | | 500-999 | \$500,000 |
| from 500,000 to 999,999 | | 1,000-1,999 | \$1,000,000 |
| over 1,000,000 | | above 2,000 | \$3,000,000 |

IX. Addenda

- Assurances (please sign and return)
- Certifications (please sign and return)
- Disclosure of Lobbying Activities (please sign and return if applicable)
- Sheriff's Department Questionnaire (if applicable)
- Special Department Questionnaire (if applicable)

Please be advised that a hold may be placed on this application if it is deemed that the applicant agency is not in compliance with federal civil rights laws and/or is not cooperating with an ongoing federal civil rights investigation.

Paperwork Reduction Act Notice

The public reporting burden for this collection of information is estimated to average 8 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the application. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Community Oriented Policing Services, U.S. Department of Justice, 1100 Vermont Avenue, N.W., Washington, D.C. 20530; and to the Public Use Reports Project, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

Assurances

Several provisions of federal law and policy apply to all grant programs. We (the Office of Community Oriented Policing Services) need to secure your assurance that the applicant will comply with these provisions. If you would like further information about any of these assurances, please contact your state's COPS Grant Program Specialist at (800) 421-6770.

By the applicant's authorized representative's signature, the applicant assures that it will comply with all legal and administrative requirements that govern the applicant for acceptance and use of federal grant funds. In particular, the applicant assures us that:

1. It has been legally and officially authorized by the appropriate governing body (for example, mayor or city council) to apply for this grant and that the persons signing the application and these assurances on its behalf are authorized to do so and to act on its behalf with respect to any issues that may arise during processing of this application.
2. It will comply with the provisions of federal law which limit certain political activities of grantee employees whose principal employment is in connection with an activity financed in whole or in part with this grant. These restrictions are set forth in 5 U.S.C. § 1501, et seq.
3. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, if applicable.
4. It will establish safeguards, if it has not done so already, to prohibit employees from using their positions for a purpose that is, or gives the appearance of being, motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business or other ties.
5. It will give the Department of Justice or the Comptroller General access to and the right to examine records and documents related to the grant.
6. It will comply with all requirements imposed by the Department of Justice as a condition or administrative requirement of the grant, including but not limited to: the requirements of OMB Circulars A-87, A-21, A-122, or the Federal Acquisition Regulations, as applicable (governing cost principles); OMB Circulars A-102 or A-110, as applicable (Uniform Administrative Requirements for Grants and Cooperative Agreements); OMB Circular A-133 (governing audits); the applicable provisions of the Omnibus Crime Control and Safe Streets Act of 1968, as amended; the current edition of the COPS Grant Monitoring Standards and Guidelines; and with all other applicable program requirements, laws, orders, regulations, or circulars.
7. If applicable, it will, to the extent practicable and consistent with applicable law, seek, recruit and hire qualified members of racial and ethnic minority groups and qualified women in order to further effective law enforcement by increasing their ranks within the sworn positions in the agency.
8. It will not, on the ground of race, color, religion, national origin, gender, disability or age, unlawfully exclude any person from participation in, deny the benefits of or employment to any person, or subject any person to discrimination in connection with any programs or activities funded in whole or in part with federal funds. These civil rights requirements are found in the non-discrimination provisions of the Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 U.S.C. § 3789(d)); Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000d); the Indian Civil Rights Act (25 U.S.C. §§ 1301-1303); Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794); Title II, Subtitle A of the Americans with Disabilities Act (ADA) (42 U.S.C. § 12101, et seq.); the Age Discrimination Act of 1975 (42 U.S.C. § 6101, et seq.); and Department of Justice Non-Discrimination Regulations contained in Title 28, Parts 35 and 42 (subparts C, D, E and G) of the Code of Federal Regulations.
- A. In the event that any court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability or age against the applicant after a due process hearing, it agrees to forward a copy of the finding to the Office of Civil Rights, Office of Justice Programs, 810 7th Street, NW, Washington, D.C. 20531.
- B. Grantees that have 50 or more employees and grants over \$500,000 (or over \$1,000,000 in grants over an eighteen-month period), must submit an acceptable Equal Employment Opportunity Plan ("EEOP") or EEOP short form (if grantee is required to submit an EEOP under 28 CFR 42.302), that is approved by the Office of Justice Programs, Office for Civil Rights within 60 days of the award start date. For grants under \$500,000, but over \$25,000, or for grantees with fewer than 50 employees, the grantee must submit an EEOP Certification. (Grantees of less than \$25,000 are not subject to the EEOP requirement.)
9. Pursuant to Department of Justice guidelines (June 18, 2002 Federal Register (Volume 67, Number 117, pages 41455-41472)), under Title VI of the Civil Rights Act of 1964, it will ensure meaningful access to its programs and activities by persons with limited English proficiency.
10. It will ensure that any facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify us if advised by the EPA that a facility to be used in this grant is under consideration for such listing by the EPA.
11. If the applicant's state has established a review and comment procedure under Executive Order 12372 and has selected this program for review, it has made this application available for review by the state Single Point of Contact.

12. Pursuant to Executive Order 13043, it will enforce on-the-job seat belt policies and programs for employees when operating agency-owned, rented or personally-owned vehicles.

13. It will not use COPS funds to supplant (replace) state, local, or Bureau of Indian Affairs funds that otherwise would be made available for the purposes of this grant, as applicable.

14. If the awarded grant contains a retention requirement, it will retain the increased officer staffing level and/or the increased officer redeployment level, as applicable, with state or local funds for a minimum of one full local budget cycle following expiration of the grant period.

False statements or claims made in connection with COPS grants (including cooperative agreements) may result in fines, imprisonment, disbarment from participating in federal grants or contracts, and/or any other remedy available by law.

I certify that the assurances provided are true and accurate to the best of my knowledge.

Elections or other selections of new officials will not relieve the grantee entity of its obligations under this grant.

Signature of Law Enforcement Executive (or Official with
Programmatic Authority, as applicable)

Date

Signature of Government Executive (or Official with
Financial Authority, as applicable)

Date

Certifications

Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements and Coordination with Affected Agencies.

Although the Department of Justice has made every effort to simplify the application process, other provisions of federal law require us to seek your certification regarding certain matters. Applicants should read the regulations cited below and the instructions for certification included in the regulations to understand the requirements and whether they apply to a particular applicant. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)," and the coordination requirement of the Public Safety Partnership and Community Policing Act of 1994. The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered grant.

1. Lobbying

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

A. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the making of any federal grant; the entering into of any cooperative agreement; and the extension, continuation, renewal, amendment or modification of any federal grant or cooperative agreement;

B. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

C. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. Debarment, Suspension and Other Responsibility Matters (Direct Recipient)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510 -

A. The applicant certifies that it and its principals:

(i) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of federal benefits by a state or federal court, or voluntarily excluded from covered transactions by any federal department or agency;

(ii) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(iii) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (A)(ii) of this certification; and

(iv) Have not within a three-year period preceding this application had one or more public transactions (federal, state or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. Drug-Free Workplace (Grantees Other Than Individuals)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67, Sections 67.615 and 67.620 -

A. The applicant certifies that it will, or will continue to, provide a drug-free workplace by:

(i) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(ii) Establishing an on-going drug-free awareness program to inform employees about -

- (a) The dangers of drug abuse in the workplace;
- (b) The grantee's policy of maintaining a drug-free workplace;
- (c) Any available drug counseling, rehabilitation and employee assistance programs; and

- (d) The penalties that may be imposed upon employees for drug-abuse violations occurring in the workplace;
- (iii) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (i);
- (iv) Notifying the employee in the statement required by paragraph (i) that, as a condition of employment under the grant, the employee will -
- (a) Abide by the terms of the statement; and
 - (b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (v) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (iv)(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: COPS Office, 1100 Vermont Ave., NW, Washington, DC 20530. Notice shall include the identification number(s) of each affected grant;
- (vi) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (iv)(b), with respect to any employee who is so convicted -
- (a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state or local health, law enforcement or other appropriate agency;

- (vii) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (i), (ii), (iii), (iv), (v) and (vi).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of performance (street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Section 67.630 of the regulations provides that a grantee that is a state may elect to make one certification in each federal fiscal year, a copy of which should be included with each application for Department of Justice funding. States and state agencies may elect to use OJP Form 4061/7.

Check ☐ if the state has elected to complete OJP Form 4061/7.

4. Coordination

The Public Safety Partnership and Community Policing Act of 1994 requires applicants to certify that there has been appropriate coordination with all agencies that may be affected by the applicant's grant proposal if approved. Affected agencies may include, among others, the Office of the United States Attorney, state or local prosecutors, or correctional agencies. The applicant certifies that there has been appropriate coordination with all affected agencies.

Grantee Name and Address: _____

Application No. and/or Project Name: _____ Grantee IRS/Vendor Number: _____

Typed Name and Title of Law Enforcement Executive: _____

Signature: _____ Date: _____

As the duly authorized representative of the governing body, I hereby certify that I am binding the governing body to the above certifications, including the plan to retain. Elections of new officials will not relieve the governing body of its obligations under this grant.

Typed Name and Title of Government Executive: _____

Signature: _____ Date: _____

Disclosure of Lobbying Activities

Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime federal recipient, at the initiation or receipt of a covered federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered federal action.
2. Identify the status of the covered federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District number, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, state and zip code of the prime federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the federal program name or description for the covered federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans and loan commitments.
8. Enter the most appropriate federal identifying number available for the federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered federal action where there has been an award or loan commitment by the federal agency, enter the federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting registrant identified in item 4 to influence the covered federal action.

(b) Enter the full name(s) of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20530.

Disclosure of Lobbying Activities

Approved by OMB

O348-0046

(as amended)

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for instructions and public burden disclosure)

| | | |
|---|--|---|
| 1. Type of Federal Action: _____ a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance | 2. Status of Federal Action: _____ a. bid/offer/application b. initial award c. post-award | 3. Report Type: _____ a. initial filing b. material change <i>For Material Change Only:</i> Year: _____ Quarter: _____ Date of last report _____ |
| 4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District (number), if known: _____ | 5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District (number), if known: _____ | |
| 6. Federal Department/Agency: | 7. Federal Program Name/Description: CFDA Number, if applicable: _____ | |
| 8. Federal Action Number, if known: | 9. Award Amount, if known: \$ | |
| 10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i> | 10. b. Individuals Performing Services (including address if different from No.10a) (last name, first name, MI): | |
| 11. Information requested through this form is authorized by Title 31 U.S.C. Section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. | Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____ | |

Federal Use Only:

Authorized for Local Reproduction, Standard Form - LLL

Sheriff's Department Questionnaire

Please answer the following questions if the legal applicant is an established sheriff's department.
Attach additional pages if needed.

1. Do deputies have primary law enforcement authority for the population to be served?

[Check one]

☐ Yes ☐ No

If yes, what is the actual population for which your department has primary law enforcement authority? In other words, the 2000 Census population minus the incorporated towns and cities that have their own police departments. If no, please explain below.

Deadline:

Applications must be
postmarked
on or before
June 13, 2003
or the final deadline
June 27, 2003.

Remember to send an original
and two copies of all
application materials.

2. In the space below, break down the time spent by your entire department on various types of activities. For example: 50 percent law enforcement duties; 30 percent courthouse/bailiff duties; 20 percent jail duties (total should equal 100%).

3. Of the total percentage of time spent on law enforcement duties (as indicated in question #2), what percentage of that is spent on community policing activities?

4. Briefly describe some of the community policing activities your department participates in and/or coordinates.

If you have questions about applying for overtime under the Homeland Security Overtime Program (HSOP), please contact your COPS Grant Program Specialist through the U.S. Department of Justice Response Center at 800.421.6770.

Special Department Questionnaire

Please answer the following questions if the legal applicant is an established special department. Examples of special departments are housing authority, transit police, university/school police, and park police.

- 1. Do officers have primary law enforcement authority for the population to be served?**

[Check one]

☐ Yes ☐ No

If no, please explain:

Deadline:

Applications must be
postmarked
on or before
June 13, 2003
or the final deadline
June 27, 2003.

Remember to send an original
and two copies of all
application materials.

- 2. What legislation gives officers their police officer status and enforcement authority?**

[Check one]

☐ State ☐ Local ☐ Both

Important! Your agency must attach a copy of the legislation documenting your enforcement authority.

- 3. Do officers have full and unrestricted arrest authority? If not, what are their limitations?**

- 4. Do officers have full powers over the entire jurisdiction? If not, what area(s) are they restricted to? (e.g., parks, campus)**

- 5. Do officers provide full police services 24 hours a day, 7 days a week? If not, what are their hours?**

If you have questions about applying for overtime under the Homeland Security Overtime Program (HSOP), please contact your COPS Grant Program Specialist through the U.S. Department of Justice Response Center at 800.421.6770.

X. Return Address

Submit one original and two copies to:

U.S. Department of Justice
Office of Community Oriented Policing Services
Homeland Security Overtime Program (HSOP) Control Desk
1100 Vermont Avenue, N.W.
7th floor
Washington, D.C. 20530 (use zip 20005 for overnight mail)

Due to continued mail delays in the Washington, D.C. area, we strongly encourage you to submit your application packet by an express or overnight delivery service. If you choose to use an express delivery service, please use zip code 20005 for your submission.



FOR MORE INFORMATION:

U.S. Department of Justice
Office of Community Oriented Policing Services
1100 Vermont Avenue, N.W.
Washington, D.C. 20530

To obtain details on COPS programs, call the
U.S. Department of Justice Response Center at 800.421.6770

Visit COPS Online at the address listed below.

e04031932

Created Date: April 24, 2003

www.cops.usdoj.gov